



2131  
# 2

PATENT  
Attorney Docket No. CTX-068  
(1545/117)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE **RECEIVED**

APPLICANTS: Pope et al.

AUG 28 2001

SERIAL NO.: 09/880,268

GROUP NO.: 2131

Technology Center 2100

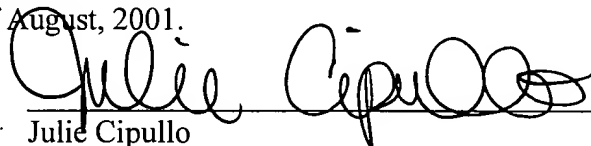
FILED: June 13, 2001

EXAMINER: Not Yet Assigned

TITLE: A Method and Apparatus for Transmitting Authentication Credentials of a User Across Communication Sessions

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any documents referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Assistant Commissioner for Patents, Washington, DC 20231 on this 22<sup>nd</sup> day of August, 2001.

  
Julie Cipullo

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith are the following:

- (1) Transmittal Form (1 page);
- (2) Information Disclosure Statement (2 pages);
- (3) Form PTO-1449 (3 pages);
- (4) References A1-A29, B1-B4 and C1-C16; and
- (5) A Return Receipt Postcard.



# TRANSMITTAL FORM

Application Serial Number	09/880,268
Filing Date	June 13, 2001
First Named Inventor	Pope
Group Art Unit	2131
Examiner Name	Not Yet Assigned
Attorney Docket No.	CTX-068
BATCH NO. (after allowance)	Not applicable
Patent No.	Not applicable
Issue Date	Not applicable

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## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences
<input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets _____]	<input type="checkbox"/> Formal Drawing(s)	<input type="checkbox"/> Appeal Brief (in triplicate)
<input type="checkbox"/> Petition for Extension of Time	<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal	<input type="checkbox"/> Status Inquiry
<input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations: A1-A29, B1-B4, C1-C16	<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)	<input checked="" type="checkbox"/> Return Receipt Postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8
<input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application	<input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8
	<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Additional Enclosure(s) (please identify below)
	<input type="checkbox"/> CD(s) for large table or computer program	
	<input type="checkbox"/> Amendment After Allowance	
	<input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	

## CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
Testa, Hurwitz & Thibault, LLP  
High Street Tower  
125 High Street  
Boston, MA 02110  
Tel. No.: (617) 248-7000  
Fax No.: (617) 248-7100

## SIGNATURE BLOCK

Respectfully submitted,  
  
John D. Lanza  
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PATENT  
Attorney Docket No. CTX-068  
(1545/117)

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APPLICANT(S): Pope et al.  
SERIAL NO.: 09/880,268 GROUP NO.: 2131  
FILING DATE: June 13, 2001 EXAMINER: Not Yet Assigned  
TITLE: A Method and Apparatus for Transmitting Authentication Credentials  
of a User Across Communication Sessions

Assistant Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed:

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

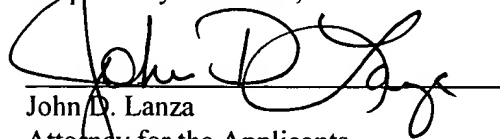
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

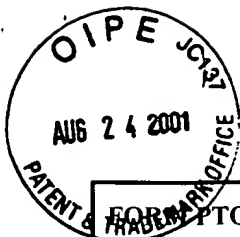


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FORM PTO - 1449	ATTORNEY DOCKET NO.: CTX-068 (1545/117)
INFORMATION DISCLOSURE STATEMENT	APPLICANT(S): Pope et al.
	SERIAL NO.: 09/880,268
	FILING DATE: June 13, 2001

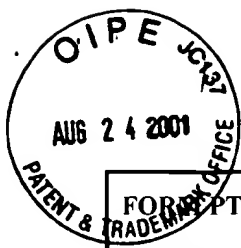
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## U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	4,924,378	05/08/90	Hershey et al.	364	200	06/13/88
	A2	5,204,897	04/20/93	Wyman	380	4	07/14/92
	A3	5,359,721	10/25/94	Kempf et al.	395	425	12/18/91
	A4	5,390,297	02/14/95	Barber et al.	395	200	11/10/87
	A5	5,412,717	05/02/95	Fischer	380	4	05/15/92
	A6	5,455,953	10/03/95	Russell	395	739	11/03/93
	A7	5,491,750	02/13/96	Bellare et al.	380	21	12/30/93
	A8	5,504,814	04/02/96	Miyahara	380	4	01/24/94
	A9	5,509,070	04/16/96	Schull	380	4	12/15/92
	A10	5,524,238	06/04/96	Miller et al.	395	600	03/23/94
	A11	5,544,246	08/06/96	Mandelbaum et al.	380	23	09/17/93
	A12	5,550,976	08/27/96	Henderson et al.	395	200.06	12/08/92
	A13	5,550,981	08/27/96	Bauer et al.	395	200.06	06/21/94
	A14	5,553,139	09/03/96	Ross et al.	380	4	04/04/94
	A15	5,557,732	09/17/96	Thompson	395	161	08/11/94
	A16	5,564,016	10/08/96	Korenshtein	395	186	09/29/95
	A17	5,592,549	01/07/97	Nagel et al.	380	4	06/15/95
	A18	5,604,490	02/18/97	Blakley, III et al.	340	825.31	09/09/94
	A19	5,638,513	06/10/97	Ananda	395	188.01	06/07/95
	A20	5,657,390	08/12/97	Elgamal et al.	380	49	08/25/95
	A21	5,666,501	9/9/97	Jones et al.	345	348	3/30/95
	A22	5,668,999	09/16/97	Gosling	395	704	12/20/94
	A23	5,689,708	11/18/97	Regnier et al.	395	682	03/31/95
	A24	5,729,734	03/17/98	Parker et al.	395	609	11/03/95
	A25	5,737,416	04/07/98	Cooper et al.	380	4	08/02/96



FORM PTO - 1449 <b>INFORMATION DISCLOSURE STATEMENT</b>	ATTORNEY DOCKET NO.: CTX-068 (1545/117) APPLICANT(S): Pope et al. SERIAL NO.: 09/880,268 FILING DATE: June 13, 2001
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**U.S. PATENT DOCUMENTS**

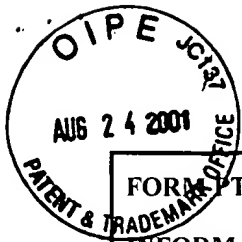
A26	5,742,757	04/21/98	Hamadani et al.	395	186	05/30/96
A27	5,794,207	08/11/98	Walker et al.	705	23	09/04/96
A28	5,944,791	8/31/99	Scherpbier	709	218	10/4/96
A29	5,956,407	09/21/99	Slavin	380	30	07/08/97

**FOREIGN PATENT DOCUMENTS**

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG Y/N
	B1	0 679 980 A1	11/02/95	EP	GO6F	1/00	04/18/95	N	Y
	B2	0 851 628 A1	07/01/98	EP	HO4L	9/08	12/23/96	N	Y
	B3	2 168 831 A	06/25/86	GB	HO4L	11/26	11/13/84	N	Y
	B4	97/18635	05/22/97	WO	HO4L	29/06	09/20/96	N	Y

**OTHER ART, JOURNAL ARTICLES, ETC.**

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)
C1	"IBM: "IBM Operating System/2 Version 1.2 Profile Validation Hooks", pages 1-26, November 22, 1989.
C2	N.F. Maxemchuk, S. Low, "The Use of Communications Networks to Increase Personal Privacy" from <u>IEEE INFOCOM' 95</u> , Proceedings, Vol. 2, April 2-6/1995, Pages 504-512.
C3	P.Y.A. Ryan, S.A. Schneider, "An attack on a recursive authentication protocol A cautionary tale" <u>Information Processing Letters</u> 65, 1998 Elsevier Science B.V., pages 7-10
C4	Dave Otway and Owen Rees, "Efficient and Timely Mutual Authentication", The ANSA Project, 24 Hills Road, Cambridge CB21JP United Kingdom, pages 8-10
C5	Lawrence C. Paulson, "Mechanized Proofs for a Recursive Authentication Protocol" Computer Laboratory, University of Cambridge, Pembroke Street, Cambridge CB2 3QG, England, pages 84-94
C6	Li Gong, "Using One-Way Functions for Authentication" University of Cambridge Computer Laboratory, Cambridge CB2 3QG, England, July 1989, pages 8-11
C7	Mark Nicholson, "How To Hold Mobile Users To Account" Financial Times, Tuesday, May 2, 2000.
C8	Tony Savvas, "Handset Giants Launch Security System" www.computerweekly.com
C9	Charles Seife, "Algorithmic Gladiators Vie For Digital Glory" www.sciencemag.org, Science, Vol 288, May 19, 2000, pages 1161 & 1163.
C10	Russell Kay, "Authentication" Computerworld, March 27, 2000, pages 77-79.



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		FILING DATE:	June 13, 2001
OTHER ART, JOURNAL ARTICLES, ETC.			
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)		
	C11	Tom Yager, "OS Paradise" BYTE, November, 1995	
	C12	Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein, David Hitz, "File System Security: Secure Network Data Sharing For NT And UNIX" Network Appliance, Inc., Tech Library, January 16, 1998 pages 1-16 (double sided)	
	C13	"Network Neighborhood", <a href="http://www.internet.com">http://www.internet.com</a> , © 1999 internet.com	
	C14	Howard Millman, "Give Your Computer the Finger", Computerworld, March 27, 2000	
	C15	B. Clifford Neuman, "Proxy-Based Authorization and Accounting for Distributed Systems", © IEEE, May 25, 1993, pages 283-291	
	C16	Win95 Tutorial: Index of Topics, <a href="http://orion.valencia.cc.fl.us/tutorials/Win95demo/net.html">http://orion.valencia.cc.fl.us/tutorials/Win95demo/net.html</a> , printed 12/27/99 (2 pages)	
EXAMINER		DATE CONSIDERED	

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